

Supervisory/Non-Supervisory Performance Plan and Appraisal Form Instructions

Section 1 - Employee Data

Enter appropriate employee data to reflect the employee's official position of record or temporary position for details and temporary promotions for 90 days or more. The beginning date for the appraisal period is October 1 of the fiscal year or the effective date assigned to the position. The ending date is entered at the time the appraisal is completed, normally September 30 for an annual Rating of Record. For example: 10/01/2010 – 09/30/2011.

At the end of the appraisal period, check the applicable box for the type of appraisal (**select only one**)

- **Annual Rating of Record:** When the Annual Rating of Record box is checked, all parts of the form are completed.
- **Special Rating of Record:** Check the Special Rating of Record box when one of the exceptions to the Rating of Record applies, e.g., when the last Rating of Record does not reflect the employee's current performance level for approving or denying a within-grade increase (WGI) or when preparing to run a reduction in force (RIF). When the Special Rating of Record box is checked, all parts of the form are completed except for Sections 3 and 6 regarding the Progress Review.
- **Advisory Rating:** Check the Advisory Rating box when an employee is on a detail or temporary promotion. Advisory ratings are required at the end of the employee's temporary assignment and the end of the annual appraisal period (September 30). When the Advisory Rating box is checked, all parts of the form are completed except for Sections 3, 5, and 6 regarding the Progress Review and the Summary Rating. The temporary Rating Official assigns one of the Rating Elements identified below in Section 5 to each critical element, discusses the rating with the employee and sends the form to the employee's supervisor of record for consideration in preparing the employee's Annual Rating of Record.

NOTE: When using the PDF Version, the employee's name will automatically populate to sections 2g, 3g, 3q and 5k. Do not manual type in these boxes.

Section 2 – Performance Plan Certification

A performance plan must be developed for each employee at the beginning of the appraisal period. ***The target is to have a draft plan ready to discuss with the employee during the first week of the appraisal period.*** The Rating Official must provide each employee the opportunity to participate in developing their performance plan, including establishing the critical elements. The discussion should address specific examples of performance requirements, as well as the consequences resulting from failing to meeting them.

NOTE: When using the PDF Version, the names entered in 2a and 2d, will automatically populate to sections 3a, 3d 3k, 3, 5e and 5k. Do not manual type in these boxes.

- **Reviewing Official:** The Reviewing Official signs first to approve consistency with meeting the Departmental element's overall mission and goals.
- **Rating Official:** The Rating Official signs second to acknowledge that the employee was afforded the opportunity to discuss performance expectations and that the employee was provided a copy of the plan.
- **Employee:** The employee signs last to acknowledge that performance expectations were discussed and a copy of the plan was provided; the employee's signature does not indicate agreement with the plan.

If the employee declines to sign the plan or is not available to sign, the Rating Official should check the appropriate box (**check only one**) and provide a brief explanation.

Section 3 – Progress Review Certification

The signatures in this section certify that the employee's progress toward meeting the job performance outcomes/expectations in Section 4 were discussed with the employee and the employee was provided a copy of the Progress Review. The Reviewing Official (if applicable) and the Rating Official sign prior to the employee. If the employee declines to sign the plan or is not available to sign it, the Rating Official should check the appropriate box and provide a brief explanation. The Reviewing Official's signature is only required if a critical element is added, deleted, or the weight of an existing critical element is modified.

Section 4 – Progress Review

The Rating Official must conduct and document a minimum of one (1) progress review approximately mid-way through the appraisal period. The Rating Official will provide feedback to the employee and discuss performance strengths and weaknesses, adjustments to the critical elements (if applicable), and training and developmental opportunities (if applicable). A brief comment on the employee's progress toward meeting the job performance outcomes/expectations is required for each critical element.

NOTE: When using the PDF Version, each critical element description in 5a will automatically populate to the appropriate Critical Element box in section 4. Do not manual type in these boxes.

Section 5a – Critical Elements

A critical element is an assignment or responsibility of such importance that unacceptable performance in one critical element would constitute an overall Fails to Meet Expectations (FME) Summary Rating. A critical element may be modified, deleted, or adjusted prior to the last 90 days of the rating period. The Rating Official will ensure that each critical element contains the following information:

- **Weight:** A single, double or triple weight will be assigned to establish distinctions in the importance of the critical element in attaining the desired goals of the organization. The supervisory critical element is required for positions with supervisory titles that are coded 2 or 4 in the DOE CHRIS by the servicing Human Resources Office. The supervisory critical element is always double weighted and may be triple weighted. The weight of the supervisory element is considered as part of the 6 maximum weighted critical elements.

- **Description:** This is a brief title that describes the element, e.g., Contract Administration.
- **Goal Linkage:** At least one strategic, program or organizational goal (i.e., DOE Strategic Plan/Annual Plan, Organizational Strategic/Annual Plans, the President's National Energy Policy, etc.) that the critical element supports will be assigned.
- **Job Performance Results/Expectations:** Identifies the job performance results and expectations (i.e., products, outcomes, or deliverables), that are to be accomplished during the appraisal period, how well they have to be done, and how they will be measured at the Meets Expectations (ME) performance level. Job performance results/expectations must be: Specific (what needs to be accomplished), Measurable (where the performance target lies by defining measurements, i.e., quantity, time, milestones, quality, and use of resources), Achievable (how the employee can attain the goal through specific actions), Relevant (why the goal is important), and Timed (when the goal will be accomplished). Employees should be able to see and understand how the results for which they are held responsible are linked to those specified in their supervisory/managerial chain; thereby, creating a clear "line-of-sight" between individual performance and organizational success. Specific organizational milestones, deliverables, and/or deadlines may be specified for each element, including the supervisory critical element.
- **Contributing Factors:** Contributing factors identify the manner of performance that contributes to the employee's successful accomplishment of the job performance outcomes/expectations. At least one contributing factor will be assigned to each critical element. Descriptions of the contributing factors are attached.

At the end of the appraisal period, the Rating Official will use his/her own observation, supplemental sources, and input from the employee and/or customers to objectively evaluate the employee's performance while considering the contributing factor(s) for each critical element, and determine which of the following rating elements should be assigned. Based on the assigned weight for each critical element, a number should be entered in the appropriate Critical Element Performance Rating box (e.g., a critical element that is rated as EE with a weight of 2 is counted as 2 EE ratings.)

- **Exceeds Expectation (EE)** – Performance at this level is dramatically higher than that described at the ME level in terms of work products and/or results achieved, high cost-savings or cost avoidances, and/or extremely high levels of efficiency, effectiveness, and timeliness.
- **Meets Expectation (ME)** – This is the "Fully Successful" level that is described for each critical element and is intended to describe the level that is reasonably expected to be achieved in terms of quality, quantity, effectiveness, and timeliness.
- **Needs Improvement (NI)** – A rating at this level indicates that an employee has not met the expectations for a critical element and that performance at this level is clearly lower than what was reasonably expected at ME, but is not considered unacceptable; supervisory

intervention and assistance, counseling, formal training, and/or developmental assignments are needed to improve performance to raise it to it to the ME level.

- **Fails to Meet Expectations (FME)** – This is the lowest level that a critical element can be evaluated. It indicates that the employee’s performance is unacceptable.
- **Not Ratable (NR)** – The NR box should be checked when a critical element is considered not-ratable, e.g., when a project has been delayed due to a lack of funding, an employee has an extended absence due to illness or is on LWOP, or the critical element needs to be revised significantly or deleted. Under this situation, if the total number of critical elements drops below 3, it will be necessary for an additional critical element to be added in order for the employee to meet the minimum requirement of 3 critical elements. This box should not be checked simply because an employee is struggling to meet the critical element.

The Rating Official’s Comments section should be used to provide a narrative that describes the employee’s performance compared to the job performance outcomes/expectations for each critical element that is rated other than ME. The comments should address the employee’s overall performance throughout the appraisal period.

Section 5b – Critical Element Aggregate Totals

This section captures the total number of weighted critical elements that have been rated at each level. The number is determined based on the rating level assigned for each critical element.

NOTE: When using the PDF Version, the aggregate totals will automatically populate. Do not manually type in these boxes.

Section 5c – Summary Rating Determination Chart

The Summary Rating Determination Chart provides the rules for determining the Summary Rating.

Section 5d – Summary Rating

The Summary Rating is the overall rating for the appraisal period based on the rating for each weighted critical elements. This rating is called the Rating of Record.

NOTE: The appropriate summary rating must be manually selected.

The Rating and Reviewing Official’s sign and date the appraisal form prior to the employee. The employee’s signature confirms that the Summary Rating was discussed and the employee was provided a copy of the performance plan. The employee’s signature does not indicate agreement with the rating.

The Rating and/or Reviewing Official and/or the employee may provide comments pertaining to the summary rating. Comments may not exceed one page.

NOTE: When using the PDF Version, comments may not exceed the maximum allowed for each comment section.

Contributing Factors

Customer Service:

- Responds to customer communications in a timely manner
- Identifies customers' needs and concerns
- Designs or adapts products and services to meet customer needs
- Works cooperatively with customers and colleagues to resolve disagreements in expectations and deliverables
- Keeps customers informed on progress of deliverables
- Meets agreed upon schedules and commitments or provides reason(s) for not doing so
- Adjusts to changing needs and is flexible to customers' requirements, providing that there are no limitations beyond the employee's control and customers' requests are not unreasonable
- Customer surveys and/or feedback reflect that the employee responds appropriately and in a timely manner so that customers are at least reasonably satisfied

NOTE: Inherent in this factor is effective communications and resourcefulness with customers

Communication:

- Keeps supervisors and colleagues informed of issues, problems, and work status in a timely manner
- Responds to noncustomer communications in a timely manner
- Describes issues in a clear, concise, and/or convincing manner, both verbally and in writing
- Communicates in a technically accurate and supported manner
- Exercises judgment in sharing information
- Coordinates communications that affect other offices with those offices

- Develops organized, persuasive presentations
- Listens to others' ideas and viewpoints and seeks to clarify for understanding
- Displays a positive attitude that fosters non-confrontational communications
- Uses communication tools and resources, e.g., email, voicemail, power point, graphics, etc., effectively

NOTE: Inherent in this factor is the need to be resourceful in using communication tools and resources

Teamwork:

- Actively contributes to the accomplishment of organizational goals
- Builds collegial, effective relationships that facilitate achieving desired goals
- Supports others in the accomplishment of their assignments
- Shares knowledge, expertise, information, and/or credit with co-workers
- Contributes in staff/team meetings as appropriate
- Supports organizational decisions once they are made
- Treats colleagues with courtesy, respect, and fairness
- Uses collaborative decision-making techniques to facilitate teamwork

NOTE: Inherent in this factor is the employee's responsibility to work cooperatively with others

Responsibility/Accountability:

- Accepts responsibility for completing work assignments, work performed, and any problem(s) associated with it within the employee's control
- Completes developmental and training requirements in a timely manner
- Meets milestones and due dates for assignments
- Actively participates in the development of his/her assignments, performance and development plans, and career goals
- Keeps supervisors, colleagues, and customers informed of availability

- Maintains current awareness and adheres to relevant government and organization regulations, policies, and procedures
- Practices safe work habits and takes action to resolve unsafe conditions

Resourcefulness/Innovation:

- Initiates and/or supports quality improvements in systems, programs, products, services, and/or work processes
- Recommends alternatives to established thinking, policies, practices, methods, and approaches designed to achieve organizational efficiency, cost savings/avoidance, etc.
- Readily adapts or develops regulations, policies, and procedures to new situations
- Utilizes contacts to network and identify solutions to issues

Safety:

- Complies with corrective actions identified to resolve unsafe conditions in an individual's work area
- Complies with the DOE Federal Employee Occupational Safety and Health (FEOSH) Program, safety and health requirements, and the local occupant emergency plan
- Adheres to established emergency response procedures during exercises, drills, and emergency conditions
- Takes required training and developmental opportunities to assure that the employee is knowledgeable of their safety responsibilities, workplace hazards and controls, emergency response procedures, and the DOE FEOSH Program

NOTE: Supervisors are not limited to the above examples for each factor, nor is an employee required to do everything described for a factor. Specific Departmental element requirements or clarifications may be added.